

# **FORM ID**

## **GENERAL INSTRUCTIONS**

### **USING AND PREPARING FORM ID**

FORM ID must be filed by all applicant types listed on this Form, or their agents, to request the following access codes to permit filing on EDGAR:

- Central Index Key (CIK) — The CIK uniquely identifies each filer, filing agent, and training agent. We assign the CIK at the time you make an initial application. You may not change this code. The CIK is a public number.
- CIK Confirmation Code (CCC) — You will use the CCC in the header of your filings in conjunction with your CIK to ensure that you authorized the filing.
- Password (PW) — The PW allows you to log onto the EDGAR system, submit filings, and change your CCC.
- Password Modification Authorization Code (PMAC) — The PMAC allows you to change your password.

An applicant must prepare and file this Form in electronic format via the Commission's EDGAR Filer Management website. Please see the "EDGAR Filer Manual Volume I: General Information" for instructions on how to file electronically, including how to use the access codes.

The applicant must provide applicable responses within the Form ID electronic filing. The applicant can save a partial or full Form ID electronic filing. At the completion of filling out the online form, the applicant must sign the copy within the "Form ID: Notarized Authentication" section and have the signature notarized to confirm authenticity of the Form ID filing. This signed and notarized document will fulfill the authenticating document requirement. This authenticated document must be attached to the electronic Form ID filing in PDF format.

The application can include other attachments such as a cover letter. To assemble the Form ID submission (i.e., associate any attachments with your Form ID application), the applicant must upload them to the electronic Form ID filing in the EDGAR Filer Management website. The PDF document attachment must not be empty or image only and not contain active contents (Actions, embedded JavaScript, etc.), external references (Destinations, Hyperlinks, etc.), and passwords or document security controls.

For assistance with technical questions about electronic filing, call Filer Support at (202) 551-8900. For assistance with questions about the EDGAR rules, Division of Corporation Finance

filers may call the Office of Information Technology at (202) 551-3600; and Division of Investment Management filers may call the IM EDGAR Inquiry Line at (202) 551-6989.

**You must complete all items in sections that apply to you. If an item in any section does not apply to you, please leave it blank.**

## SECTION I — APPLICATION FOR EDGAR ACCESS

The General Information should identify the applicant's department, unit, or division most directly responsible for processing the registrant filing. This information will be used by the SEC to contact the responsible department should questions or requests for additional information arise from a filing. This information should be that of the registrant company and NOT that of a filing agent, outside counsel, or any other third-party representative of the registrant.

Provide the applicant's name in English.

Please select one of the options to indicate whether you will be sending electronic submissions as a filer, filing agent, funding portal, institutional investment manager, investment company, business development company or insurance company separate account, large trader, municipal advisor, nationally recognized statistical rating organization, non-investment company applicant under the Investment Company Act of 1940, security-based swap data repository, security-based swap dealer and major security-based swap participant, security-based swap execution facility, training agent, or transfer agent. Select only one of these options per application. If you are an individual, however, also select the "Individual" option.

For purposes of this Form, the term "person" includes either an individual or entity. In addition, please note that the following definitions are to facilitate the correct selection of "applicant type" and are not intended to amend or otherwise change any provision of the federal securities laws or the regulations promulgated thereunder. Finally, to the extent that a definition cross-references a particular statute, such definition shall also include any rules or regulations promulgated by the Commission further refining the statutory definition.

- "Individual"—A natural person.
- "Filer"—Any person or company on whose behalf an electronic filing is made that is not otherwise covered by another Form ID applicant type (other than "Individual", as noted in the Instructions above).
- "Filing Agent"—A financial printer, law firm, or other person, which will be using these access codes to send a filing or portion of a filing on behalf of a filer.
- "Funding Portal" — A broker acting as an intermediary in a transaction involving the offer or sale of securities offered and sold in reliance on Section 4(a)(6) of the Securities Act, that does not: (1) offer investment advice or recommendations; (2) solicit purchases, sales or offers to buy the securities displayed on its platform; (3) compensate employees, agents, or other persons for such solicitation or based on the sale of securities displayed or referenced on its platform; or (4) hold, manage, possess, or otherwise handle investor funds or securities.
- "Institutional Investment Manager (Form 13F Filer)"—Any person that is required to file a Form 13F under Section 13(f) of the Securities Exchange Act of 1934, as amended. (*See* 15 U.S.C. 78m(f)(6)(A)).
- "Investment Company, Business Development Company or Insurance Company Separate Account"—Any person that meets the definition of "investment company" in Section 3 of the Investment Company Act of 1940, as amended (*See* 15 U.S.C. 80a-3), or otherwise registers an offering of its securities on a registration form adopted by the Commission under such Act,

including management companies, face-amount certificate companies, unit investment trusts, business development companies, and insurance company separate accounts (including any separate account which would be required to be registered under the Investment Company Act of 1940 except for the exclusion provided by Section 3(c)(11) of such Act and which files a registration statement on Form N-3 or Form N-4).

- “Large Trader”—Any person that is a “large trader” as defined by Rule 13h-1(a)(1) under the Securities Exchange Act of 1934, as amended (*See* 17 CFR 240.13h-1(a)(1)).
- “Municipal Advisor”—Any person that is a “municipal advisor” as defined in Section 15B(e)(4) of the Securities Exchange Act of 1934, as amended. (*See* 15 U.S.C. 78o-4(e)(4)).
- “Nationally Recognized Statistical Rating Organization”—Any person that is a “nationally recognized statistical rating organization” as defined in Section 3(a)(62) of the Securities Exchange Act of 1934, as amended. (*See* 15 U.S.C. 78c(a)(62)).
- “Non-Investment Company Applicant under the Investment Company Act of 1940”—Any person submitting an application for an order seeking an exemption under the Investment Company Act of 1940, as amended.
- “Security-Based Swap Data Repository”—Any person that is a “security-based swap data repository” as defined in Section 3(a)(75) of the Securities Exchange Act of 1934, as amended. (*See* 15 U.S.C. 78c(a)(75)).
- “Security-Based Swap Dealer and Major Security-Based Swap Participant”—Any person that is a “security-based swap dealer” or a “major security-based swap participant” as each term is defined in Sections 3(a)(71) and (67) of the Securities Exchange Act of 1934, as amended. (*See* 15 U.S.C. 78c(a)(71) and (67)).
- “Security-Based Swap Execution Facility”—Any person that is a “security-based swap execution facility” as defined in Section 3(a)(77) of the Securities Exchange Act of 1934, as amended. (*See* 15 U.S.C. 78c(a)(77)).
- “Training Agent”—Any person that will be sending only test filings in conjunction with training other persons.
- “Transfer Agent”—Any person planning to register as a Transfer Agent as defined in Section 3(a)(25) of the Securities Exchange Act of 1934, as amended, on whose behalf an electronic filing is made. (*See* 15 U.S.C. 78c(a)(25)).

Please include an e-mail address for the applicant.

The filer’s tax or federal identification number is the number issued by the Internal Revenue Service. This does not apply to individuals. Accordingly, do not enter a Social Security number. If an investment company filer is organized as a series company, the investment company may use the tax or federal identification number of any one of its constituent series. Issuers that have applied for but not yet received their tax or federal identification number and foreign issuers that do not have a tax or federal identification number must include all zeroes. A “foreign issuer” is an entity so defined by Securities Act of 1933 (15 U.S.C. 77a et seq.) Rule 405 (17 CFR 230.405) and the Securities Exchange Act of 1934 (15 U.S.C. 78a et seq.) Rule 3b-4(b) (17 CFR 240.3b-4(b)). Foreign issuers should include their country of organization.

## **SECTION II — REGISTRANT COMPANY INFORMATION**

**(To be completed only by filers who are not individuals.)**

The Registrant Company is used to record the address of the registrant company primary headquarters or registered agent. The physical location of the registrant company primary headquarters could differ from that of the division or unit that processes the filing. This information should be that of the registrant company's primary headquarters or registered agent and NOT that of a filing agent, outside counsel, or any other third-party representative of the registrant.

A foreign issuer filer must provide its "doing business as" name in the language of the name under which it does business and must provide its foreign language name, if any, in the space so marked.

Please include an e-mail address that will become the e-mail address for the Registrant Company. The e-mail address provided here is a secondary e-mail address. It will be stored in the Company Business Information in the EDGAR Database. EDGAR will send communications to that e-mail address for questions pertaining to the Registrant Company. This e-mail address should not belong to a Filing Agent.

If the filer's fiscal year does not end on the same date each year (e.g., falls on the last Saturday in December), the filer must enter the date the current fiscal year will end.

## **SECTION III — CONTACT INFORMATION**

The Contact Information section is divided into two sub-sections:

- Contact for EDGAR Information, Inquiries, and Access Codes
- Contact for SEC Account Information and Billing Invoices

### *Contact for EDGAR Information, Inquiries, and Access Codes*

The Company Contact for EDGAR Information, Inquiries, and Access Code information will serve to validate registrant/filing agent identification when requesting SEC filer support for the EDGAR system.

In this section, identify the individual(s) who should receive the access codes and other EDGAR-related information. You will need to determine whether the contact information is for a "Registrant" or "Filing Agent"; if the information is for a "Filing Agent," then the e-mail information cannot match the e-mail addresses provided in Section I and II above. Please include at least one e-mail address that will become your default notification e-mail address for EDGAR filings; it will be stored in the Company Contact Information on the EDGAR Database. EDGAR will send all subsequent filing notifications automatically to this e-mail address. You can have up to three e-mail addresses in the EDGAR Company Contact Information.

### Contact for SEC Account Information and Billing Invoices

The Company Contact for SEC Account Information and Billing is provided by the applicant for contact in the event of questions related to account and billing information matters, such as:

1. Accounts Activity statements
2. Account Receivable letters
3. Refund questions
4. Dormant Account notifications

Identify in this section the individual who should receive account information and/or billing invoices from the SEC. Please include an e-mail address for the individual who should receive account information and/or billing invoices from EDGAR; it will be stored in the Company Account Information in the EDGAR Database. EDGAR will send communications to this e-mail address for questions pertaining to the account and billing information. You can have one e-mail address in the EDGAR Company Account Information. We will use this information to process electronically fee payments and billings. If the e-mail address changes, update it via the EDGAR Filing website or else your EDGAR account statements may be returned to the SEC as undeliverable.

### **SECTION IV — DOCUMENTS**

The Documents section is where the applicant attaches documents to the electronic Form ID application. The applicant attaches the notarized authentication document in PDF format to the electronic Form ID application in the Document section. All other documents are attached in this section too.

The authentication document must include the following information:

- Signature of Authorized Person
- Printed Name of Signature
- Title of Person Signing
- Notary Signature and Seal

### **SECTION V — SIGNATURE (To be completed by all applicants)**

If the applicant is a corporation, partnership, trust, or other entity, state the capacity in which the representative individual, who must be duly authorized. The representative individual must sign the Form on behalf of the applicant.

If the applicant is an individual, the applicant must sign the Form.

If another person signs on behalf of the representative individual or the individual applicant, confirm the authority of the other person to sign in writing in an electronic attachment to the Form. The confirming statement needs to indicate that the representative individual or individual applicant authorizes and designates the named person or persons to file the Form on behalf of the applicant, and state the duration of the authorization.